

04/20/01  
3c846 U.S. PTO

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1017 U.S. PTO  
09/839467  
04/20/01

# CHOATE, HALL & STEWART

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EXCHANGE PLACE

53 STATE STREET

BOSTON, MASSACHUSETTS 02109-2891

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Box Patent Application  
Assistant Commissioner for Patents  
Washington, DC 20231

**Express Mail No.: EL603010025US**  
**Attorney Docket No.: 0550862-0015**  
**Date Filed: April 20, 2001**

## **UTILITY PATENT APPLICATION TRANSMITTAL**

(for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Dear Sir:

Please find enclosed a patent application and papers as follows for:

### **Inventor(s):**

<u>Given Name (first and middle)</u>	<u>Family Name or Surname</u>	<u>Residence (City and State or Foreign Country)</u>
Lew	Rompala	Johnson City, Texas
David	Wiegand	Edmonds, Washington
Neil	Hickey	Golden, Colorado

**Title of the Invention: SYSTEM FOR AND METHOD OF AUTOMATING THE  
EXECUTION OF A DATA STREAM TRANSFORMATION  
PROJECT**

### **A) APPLICATION ELEMENTS:**

- 1) ☒ **Fee Transmittal Form** (original and duplicate submitted for fee processing)
- 2) ☒ **Applicant Claims Small Entity Status** (see 37 C.F.R. § 1.27)
  - a) ☐ Statement Verifying Small Entity Status (optional)

Express Mail No.: **EL603010025US**  
Attorney Docket: **0550862-0015**  
Date Filed: **April 20, 2001**

3) ☒ **Specification**

TOTAL PAGES: 13

- ☒ Descriptive Title of the Invention
- ☒ Cross References to Related Applications (if applicable)
- ☐ Statement Regarding Federally Sponsored R & D (if applicable)
- ☐ Reference to sequence listing, a table, or a computer program listing appendix
- ☒ Background of the Invention
- ☒ Summary of the Invention
- ☒ Description of the Drawing (if filed)
- ☒ Detailed Description of the Invention
- ☒ Claim(s)
- ☒ Abstract of the Invention

4) ☒ **Drawing(s)** (35 U.S.C. § 113)

TOTAL SHEETS: 2

- a) ☒ Formal Drawings (if checked)

5) ☐ **Oath or Declaration**

TOTAL PAGES:       

- a) ☐ Newly Executed (original or copy)
- b) ☐ Copy from a prior application (37 C.F.R. § 1.63(d))-for continuation/divisional application
  - i) ☐ Deletion of inventor(s): Signed Statement deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).
- c) ☐ Unexecuted

6) ☒ **Application Data Sheet**. See 37 C.F.R. § 1.76.

7) ☐ **CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)**

8) ☐ **Nucleotide and/or Amino Acid Sequence Submission** (if applicable, all are necessary)

- a) ☐ Computer Readable Form (CRF)
- b) ☐ Specification Sequence Listing on:
  - i) ☐ CD-ROM or CD-R (2 copies); or
  - ii) ☐ Paper
- c) ☐ Statements verifying identity of above copies

B) ACCOMPANYING APPLICATION PARTS:

- 9) ☐ **Assignment Papers** (cover sheet & document(s))
- 10) ☐ **37 C.F.R. § 3.73(b) Statement** (when there is an assignee)
- 11) ☐ **Power of Attorney**
- 12) ☐ **English Translation Document** (if applicable)
- 13) ☐ **Information Disclosure Statement (IDS)/PTO-1449**
- 14) ☐ **Copies of IDS Citations**
- 15) ☐ **Preliminary Amendment**
- 16) ☒ **Return Receipt Postcard (MPEP 503)** (specifically itemized)
- 17) ☐ **Certified Copy of Priority Document(s)** (if foreign priority is claimed)
- 18) ☐ **OTHER:** (if applicable, specified below)

C) FOR CONTINUING APPLICATIONS: (the appropriate box is checked, and certain information is provided below and in a preliminary amendment)

☐ continuation ☐ divisional ☐ continuation-in-part (CIP)

of prior application no.: \_\_\_\_\_

filed: \_\_\_\_\_

examiner: \_\_\_\_\_

group/art unit: \_\_\_\_\_

**for continuation or divisional applications only:** The entire disclosure of the prior application, from which an oath or declaration is supplied as detailed above, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.

D.) PRIORITY CLAIM(S):

This application claims the benefit under 35 U.S.C. § 120 of any United States application(s) or PCT international application(s) designating the United States of America listed below:

<u>Application Serial No.</u>	<u>Filing date</u>	<u>Status (patented, pending, abandoned)</u>
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This application claims the benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below:

<u>Application Serial No.</u>	<u>Filing date</u>	<u>Status (pending, expired, abandoned)</u>
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E) METHOD OF PAYMENT OF FILING FEES FOR THIS APPLICATION:

- ☐ Applicant claims small entity status 37 C.F.R. § 1.27.
- ☐ A check is enclosed to cover the filing fees.
- ☒ The commissioner is hereby authorized to charge filing fees or to credit any overpayment to deposit account number 03-1721.

Basic Filing Fee (Small Entity)	\$ 355 .00
Additional Fees:	
Total Number of Claims in excess of 20: ( 11 – 20) x \$9	\$ .00
Number of Independent Claims in excess of 3:( 2 – 3) x \$40	\$0.00
Multiple Dependent Claims:	<u>\$0.00</u>
Total Filing Fee:	\$ 355 .00

Total filing fee amount \$ 355

F) CORRESPONDENCE ADDRESS:

☐ Customer Bar Code Label: \_\_\_\_\_

☒ Correspondence Address:

Sam Pasternack  
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Respectfully Submitted,



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Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FEE TRANSMITTAL**  
**for FY 2001**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$)

**Complete if Known**

Application Number

Filing Date

First Named Inventor

Examiner Name

Group Art Unit

Attorney Docket No.

April 20, 2001

Rompala, Lew

0550862-0015

**METHOD OF PAYMENT**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

03-1721

Deposit  
Account  
Name

Choate, Hall &amp; Stewart

- ☒
- Charge Any Additional Fee Required
- 
- Under 37 CFR 1.16 and 1.17

- ☒
- Applicant claims small entity status.
- 
- See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Credit card ☐ Money  
Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Small Entity

Fee Fee Fee Fee  
Code (\$) Code (\$) Fee Description

101 710 201 355 Utility filing fee

106 320 206 160 Design filing fee

107 490 207 245 Plant filing fee

108 710 208 355 Reissue filing fee

114 150 214 75 Provisional filing fee

Fee Paid

355

SUBTOTAL (1) (\$) 355

**2. EXTRA CLAIM FEES**

Total Claims	11	-20** =		X	Fee from below	=	Fee Paid	0
Independent Claims	2	-3** =		X		=		0
Multiple Dependent						=		

Large Entity Small Entity

Fee Fee Fee Fee  
Code (\$) Code (\$) Fee Description

103 18 203 9 Claims in excess of 20

102 80 202 40 Independent claims in excess of 3

104 270 204 135 Multiple dependent claim, if not paid

109 80 209 40 \*\* Reissue independent claims  
over original patent110 18 210 9 \*\* Reissue claims in excess of 20  
and over original patent

SUBTOTAL (2)

(\$) 0

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

	Large Entity		Small Entity	
Fee Code	Fee (\$)	Fee Code	Fee (\$)	

Fee Description

Fee Paid

105 130 205 65 Surcharge - late filing fee or oath

127 50 227 25 Surcharge - late provisional filing fee or cover sheet

139 130 139 130 Non-English specification

147 2,520 147 2,520 For filing a request for ex parte reexamination

112 920\* 112 920\* Requesting publication of SIR prior to Examiner action

113 1,840\* 113 1,840\* Requesting publication of SIR after Examiner action

115 110 215 55 Extension for reply within first month

116 390 216 195 Extension for reply within second month

117 890 217 445 Extension for reply within third month

118 1,390 218 695 Extension for reply within fourth month

128 1,890 228 945 Extension for reply within fifth month

119 310 219 155 Notice of Appeal

120 310 220 155 Filing a brief in support of an appeal

121 270 221 135 Request for oral hearing

138 1,510 138 1,510 Petition to institute a public use proceeding

140 110 240 55 Petition to revive - unavoidable

141 1,240 241 620 Petition to revive - unintentional

142 1,240 242 620 Utility issue fee (or reissue)

143 440 243 220 Design issue fee

144 600 244 300 Plant issue fee

122 130 122 130 Petitions to the Commissioner

123 50 123 50 Processing fee under 37 CFR 1.17(q)

126 180 126 180 Submission of Information Disclosure Stmt

581 40 581 40 Recording each patent assignment per property (times number of properties)

146 710 246 355 Filing a submission after final rejection (37 CFR § 1.129(a))

149 710 249 355 For each additional invention to be examined (37 CFR § 1.129(b))

179 710 279 355 Request for Continued Examination (RCE)

169 900 169 900 Request for expedited examination of a design application

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$) 0

**SUBMITTED BY**

Name (Print/Type)

Karoline K.M. Shair for

Registration No.  
(Attorney/Agent)

44,332

**Complete (if applicable)**

Telephone

617-248-5000

Signature

Karoline K.M. Shair

Date

April 20, 2001

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.